

Listing of the Claims Per 37 C.F.R. §1.121

1. (Original) A method for executing a trade in a user preferred security comprising the steps of:

representing the user preferred securities in an N dimensional graph on a client system;

selecting one of the user preferred securities from the N dimensional graph;

associating order parameters with the selected user preferred security;

sending an order to trade the selected user preferred security from the client system to a server system; and

routing the order from the server system to a trade execution location.

2. (Original) The method as recited in claim 1 wherein the step of representing a plurality of user preferred securities in an N dimensional graph on a client system further comprises the steps of:

providing security data for a plurality of securities to a server system from a security data source;

transmitting user specific criteria from the client system to the server system;

analyzing the security data for the plurality of securities based upon the user specific criteria to identify the user preferred securities in the server system; and

designating N user specific parameters of the security data in the client system, wherein N is a positive integer.

3. (Original) The method as recited in claim 1 wherein the step of associating order parameters with the selected user preferred security further comprises associating a number of shares, a price and an execution method with the selected user preferred security.

4. (Original) The method as recited in claim 3 further comprising the step of preloading the order parameters prior to the step of selecting one of the user preferred securities from the N dimensional graph.

5. (Original) The method as recited in claim 3 further comprising the step of inputting the order parameters after the step of selecting one of the user preferred securities from the N dimensional graph.

6. (Original) The method as recited in claim 1 wherein the step of sending an order to trade the selected user preferred

security from the client system to a server system further comprises sending an order selected from the group comprising a buy order, a sell order, a short order and a cancel order.

7. (Original) The method as recited in claim 1 further comprising performing compliance analysis on the order in the server system prior to the step of routing the order from the server system to a trade execution location.

a! 8. (Original) The method as recited in claim 1 wherein the step of routing the order from the server system to a trade execution location further comprises routing the order from the server system to a trade execution location based upon an execution method provided from the client system.

9. (Original) The method as recited in claim 1 wherein the step of routing the order from the server system to a trade execution location further comprises routing the order from the server system to a trade execution location based upon an execution method developed in the server system.

10. (Original) The method as recited in claim 1 further comprising the step of storing information relating to the order in a database in the server system.

11. (Original) A method for executing a trade in a user preferred security comprising the steps of:

providing security data for a plurality of securities to a server system from a security data source;

transmitting user specific criteria from the client system to the server system;

analyzing the security data for the plurality of securities based upon the user specific criteria to identify the user preferred securities in the server system;

designating N user specific parameters of the security data in the client system, wherein N is a positive integer;

representing the user preferred securities in an N dimensional graph on the client system based upon the N user specific parameters;

selecting one of the user preferred securities from the N dimensional graph;

associating order parameters with the selected user preferred security;

sending an order to trade the selected user preferred security from the client system to the server system; and

routing the order from the server system to a trade execution location.

12. (Original) The method as recited in claim 11 further comprising after the step of providing security data for a plurality of securities to a server system from a security data source, the step of parsing the security data into a predetermined number of security related factors.

13. (Original) The method as recited in claim 11 wherein the step of designating N user specific parameters of the security data, wherein N is a positive integer, further comprises designating N user specific parameters of the security data, wherein N is at least 3, thereby graphically displaying the user preferred securities in a graph having at least 3 dimensions.

14. (Original) The method as recited in claim 11 wherein the step of designating N user specific parameters of the security data, wherein N is a positive integer, further comprises designating N user specific parameters of the security data, wherein N is at least 5, thereby graphically displaying the user preferred securities in a graph having at least 5 dimensions.

15. (Original) The method as recited in claim 11 wherein the step of associating order parameters with the selected user preferred security further comprises associating a number of

shares, a price and an execution method with the selected user preferred security.

16. (Original) The method as recited in claim 15 further comprising the step of preloading the order parameters prior to the step of selecting one of the user preferred securities from the N dimensional graph.

a' 17. (Original) The method as recited in claim 15 further comprising the step of inputting the order parameters after the step of selecting one of the user preferred securities from the N dimensional graph.

18. (Original) The method as recited in claim 11 wherein the step of sending an order to trade the selected user preferred security from the client system to a server system further comprises sending an order selected from the group comprising a buy order, a sell order, a short order and a cancel order.

19. (Original) The method as recited in claim 11 further comprising performing compliance analysis on the order in the server system prior to the step of routing the order from the server system to a trade execution location.

20. (Original) The method as recited in claim 11 wherein the step of routing the order from the server system to a trade execution location further comprises routing the order from the server system to a trade execution location based upon an execution method provided from the client system.

21. (Original) The method as recited in claim 11 wherein the step of routing the order from the server system to a trade execution location further comprises routing the order from the server system to a trade execution location based upon an execution method developed in the server system.


22. (Original) The method as recited in claim 11 further comprising the step of storing information relating to the order in a database in the server system.

23. (Original) A system for executing a trade in a user preferred security comprising:

a server system in communication with a security data source and a trade execution location, the security data source providing security data on a plurality of securities to the server system; and

a client system in communication with the server system and including a display device and an input device, the client system

providing user specific criteria to the server system for analyzing the security data such that the server system identifies the user preferred securities from the plurality of securities, the user preferred securities are graphically represented on the display device in an N dimensional graph based upon N user specific parameters, one of the user preferred securities being selected using the input device and having order parameters associated therewith, the client system generating and sending an order to trade the selected user preferred security to the server system, the server system routing the order to the trade execution location.



24. (Original) The system as recited in claim 23 wherein the N user specific parameters of the security data further comprises at least 3 user specific parameters such that the display device graphically displays the user preferred securities in a graph having at least 3 dimensions.

25. (Original) The system as recited in claim 23 wherein the N user specific parameters of the security data further comprises at least 5 user specific parameters such that the display device graphically displays the user preferred securities in a graph having at least 5 dimensions.



26. (Original) The system as recited in claim 23 wherein the order parameters associated with the selected user preferred security further comprises a number of shares, a price and an execution method.

27. (Original) The system as recited in claim 23 wherein the order parameters are preloaded prior to the selection of the selected user preferred security.

a' 28. (Original) The system as recited in claim 23 wherein the order parameters are inputted using the input device after the selection of the selected user preferred security.

29. (Original) The system as recited in claim 23 wherein the order to trade the selected user preferred security further comprises an order selected from the group comprising a buy order, a sell order, a short order and a cancel order.

30. (Original) The system as recited in claim 23 wherein the server system performs a compliance analysis on the order prior to routing the order to the trade execution location.

31. (Original) The system as recited in claim 23 wherein the server system routes the order to the trade execution location based upon an execution method provided from the client system.

32. (Original) The system as recited in claim 23 wherein the server system routes the order to the trade execution location based upon an execution method developed in the server system.

33. (Original) The system as recited in claim 23 wherein the server system further comprises a database for storing information relating to the order.

34. (Original) A computer program embodied on a computer readable medium on a server system for executing a trade in a user preferred security comprising:

a code segment for receiving security data for a plurality of securities from a security data source;

a code segment for analyzing the security data based upon user specific criteria received from a client system;

a code segment for identifying user preferred securities from the plurality of securities;

a code segment for providing the client system with data relating to the user preferred securities to be graphically

represented in an N dimensional graph on the client system based upon the N user specific parameters;

a code segment for receiving an order to trade a selected user preferred security; and

a code segment for routing the order to a trade execution location.

35. (Original) The computer program as recited in claim 34 further comprising a code segment for parsing the security data into a predetermined number of security related factors.

36. (Original) The computer program as recited in claim 34 further comprising a code segment for associating order parameters with the selected user preferred security.

37. (Original) The computer program as recited in claim 34 wherein the code segment for receiving an order to trade a selected user preferred security further comprises code segment for receiving an order selected from the group comprising a buy order, a sell order, a short order and a cancel order.

38. (Original) The computer program as recited in claim 34 further comprising a code segment for performing compliance analysis on the order.

39. (Original) The computer program as recited in claim 34 wherein the code segment for routing the order to a trade execution location further comprises a code segment for receiving execution methodology from the client system.

40. (Original) The computer program as recited in claim 34 wherein the code segment for routing the order to a trade execution location further comprises a code segment for creating an execution method.

41. (Original) The computer program as recited in claim 34 further comprising a code segment for sending information relating to the order to a database for storage.

42. (Original) A computer program embodied on a computer readable medium on a client system for executing a trade in a user preferred security comprising:

a code segment for transmitting user specific criteria to a server system that receives security data for a plurality of securities from a security data source, analyzes the security data based upon the user specific criteria and identifies user preferred securities;

a code segment for receiving data relating to the user preferred securities from the server system;

a code segment for generating a graphical representation of the user preferred securities in an N dimensional graph based upon N user specific parameters;

a code segment for selecting one of the user preferred securities;

a code segment for associating order parameters with the selected user preferred security; and

a code segment for sending an order to trade the selected user preferred security to the server system that routes the order to a trade execution location.

43. (Original) The computer program as recited in claim 42 wherein the a code segment for generating a graphical representation of the user preferred securities in an N dimensional graph, further comprises a code segment for generating a graphical representation of the user preferred securities in a graph having at least 3 dimensions.

44. (Original) The computer program as recited in claim 42 wherein the a code segment for generating a graphical representation of the user preferred securities in an N dimensional graph, further comprises a code segment for generating a graphical representation of the user preferred securities in a graph having at least 5 dimensions.

45. (Original) The computer program as recited in claim 42 wherein the code segment for associating order parameters with the selected user preferred security further comprises a code segment for associating a number of shares, a price and an execution method with the selected user preferred security.

46. (Original) The computer program as recited in claim 42 wherein the a code segment for sending an order to trade the selected user preferred security to the server system further comprises a code segment for sending an order selected from the group comprising a buy order, a sell order, a short order and a cancel order.

47. (New) A system for executing a trade in a user preferred security comprising:

means for representing the user preferred securities in an N dimensional graph on a client system;

means for selecting one of the user preferred securities from the N dimensional graph;

means for associating order parameters with the selected user preferred security;

means for sending an order to trade the selected user preferred security from the client system to a server system; and

means for routing the order from the server system to a trade execution location.

48. (New) The system as recited in claim 47 wherein the means for representing a plurality of user preferred securities in an N dimensional graph on a client system further comprises:

means for providing security data for a plurality of securities to a server system from a security data source;

means for transmitting user specific criteria from the client system to the server system;

means for analyzing the security data for the plurality of securities based upon the user specific criteria to identify the user preferred securities in the server system; and

means for designating N user specific parameters of the security data in the client system, wherein N is a positive integer.

49. (New) The system as recited in claim 47 wherein the means for associating order parameters with the selected user preferred security further comprises means for associating a number of shares, a price and an execution method with the selected user preferred security.

50. (New) The system as recited in claim 49 further comprising means for preloading the order parameters prior to the step of selecting one of the user preferred securities from the N dimensional graph.

51. (New) The system as recited in claim 49 further comprising means for inputting the order parameters after the step of selecting one of the user preferred securities from the N dimensional graph.

52. (New) The system as recited in claim 47 wherein the means for sending an order to trade the selected user preferred security from the client system to a server system further comprises means for sending an order selected from the group comprising a buy order, a sell order, a short order and a cancel order.

53. (New) The system as recited in claim 47 further comprising means for performing compliance analysis on the order in the server system.



54. (New) The system as recited in claim 47 wherein the means for routing the order from the server system to a trade execution location further comprises means for routing the order from the server system to a trade execution location based upon an execution method provided from the client system.

55. (New) The system as recited in claim 47 wherein the means for routing the order from the server system to a trade execution location further comprises means for routing the order from the server system to a trade execution location based upon an execution method developed in the server system.

56. (New) The method as recited in claim 47 further comprising means for storing information relating to the order in a database in the server system.

57. (New) A computer program embodied on a computer readable medium for executing a trade in a user preferred security comprising:

a code segment for representing the user preferred securities in an N dimensional graph on a client system;

a code segment for selecting one of the user preferred securities from the N dimensional graph;

a code segment for associating order parameters with the selected user preferred security;

a code segment for sending an order to trade the selected user preferred security from the client system to a server system; and

a code segment for routing the order from the server system to a trade execution location.

58. (New) The computer program as recited in claim 57 wherein the code segment for representing a plurality of user preferred securities in an N dimensional graph on a client system further comprises:

a code segment for providing security data for a plurality of securities to a server system from a security data source;

a code segment for transmitting user specific criteria from the client system to the server system;

a code segment for analyzing the security data for the plurality of securities based upon the user specific criteria to identify the user preferred securities in the server system; and

a code segment for designating N user specific parameters of the security data in the client system, wherein N is a positive integer.

59. (New) The computer program as recited in claim 57 wherein the code segment for associating order parameters with the selected user preferred security further comprises a code segment

for associating a number of shares, a price and an execution method with the selected user preferred security.

60. (New) The computer program as recited in claim 59 further comprising a code segment for preloading the order parameters prior to the step of selecting one of the user preferred securities from the N dimensional graph.

61. (New) The computer program as recited in claim 59 further comprising a code segment for inputting the order parameters after the step of selecting one of the user preferred securities from the N dimensional graph.

62. (New) The computer program as recited in claim 57 wherein the code segment for sending an order to trade the selected user preferred security from the client system to a server system further comprises a code segment for sending an order selected from the group comprising a buy order, a sell order, a short order and a cancel order.

63. (New) The computer program as recited in claim 57 further comprising a code segment for performing compliance analysis on the order in the server system prior to executing the code segment for routing the order from the server system to a trade execution location.

64. (New) The computer program as recited in claim 57 wherein the code segment for routing the order from the server system to a trade execution location further comprises a code segment for routing the order from the server system to a trade execution location based upon an execution method provided from the client system.

65. (New) The computer program as recited in claim 57 wherein the code segment for routing the order from the server system to a trade execution location further comprises a code segment for routing the order from the server system to a trade execution location based upon an execution method developed in the server system.

66. (New) The computer program as recited in claim 57 further comprising a code segment for storing information relating to the order in a database in the server system.